Annual Report of List Maintenance Activities for January 2021 through December 2021

List Maintenance Managers (LMGO) and List Maintenance Borough Supervisors (LMS) Reports for Quality Control

On a daily and weekly basis LMGO reviews reports to audit and monitor Borough list maintenance work. On a daily and weekly basis LMS monitor workflow and review related reports.

Staff performance is evaluated regularly and appropriate remedial action, including removal, is taken as needed.

During 2021, remedial action was required for sixteen (16) staff members. These employees were retrained in specific areas of list maintenance with sample template training. No staff members were transferred after targeted training was completed.

Unscheduled Site Visits

As with many agencies Board operations were significantly altered by the COVID-19 Emergency. As such LMGO has been unable to conduct unscheduled in-person borough site visits; however, LMGO have been in regular contact with LMS via telephone calls and virtual site visits to address any issues and meet its obligations. As various governmental restrictions are reduced or eliminated, the Board will resume regular operations

Upgrades to Voter Registration Database (AVID)

- o All AVID 2020 software updates were performed on the absentee application submission system and the entire AVID database was updated accordingly.
- o Work was conducted on the architectural underpinnings in anticipation of the next AVID version for New York State Board of Elections (NYSBOE) approval in 2021.
- o A prototype online voter registration system was built in anticipation of NYSBOE Online Voter Registration and Automatic Voter Registration projects.

Complaint Intake Procedures – Zendesk

- o Since Zendesk **"went live"** on December 28, 2020, staff has been in regular contact with the List Maintenance Managers to continue to improve the process and more effectively utilize the system.
- o List Maintenance managers, along with Indigov staff, conducted scheduled "training check-ins" with all borough supervisors and staff. These check-ins began the week of January 4th through January 8th 2021 to ensure effective implementation.

o **January 4, 2021**

List Maintenance managers met with MIS staff to discuss information required from voters to include in the web form, i.e. voter's name, address, date of birth and the borough they live in. A dropdown list of various complaint categories was to be created for the voter to make the appropriate selection when sending their email.

MIS and Indigov are in the process of completing the build of the web form built for placement on the BOE Homepage. The goal is to streamline the process and receive complaints and information from voters uniformly.

While the received complaints have been few in number, same have been processed without incident.

o **January 7, 2021**

Indigov conducted a conference call with the List Maintenance managers to discuss the new process for the GO Voter Registration Department to forward any list maintenance complaints to the boroughs received through the VotermailCO email group. Specific email links were created for each borough office:

bronx@votenyc.zendesk.com

brooklyn@votenyc.zendesk.com

manhattan@votenyc.zendesk.com

queens@votenyc.zendesk.com

statenisland@votenyc.zendesk.com

Emails are forwarded to the borough offices who respond to voter complaints and update the voter records accordingly.

o **February/March 2021**

Due to Special Elections and petitioning for the boroughs of Queens and the Bronx, training for Zendesk was postponed. Staff in the borough offices and the GO were working split schedules due to another outbreak of COVID-19.

o **March 12, 2021**

Indigov conducted a zoom conference call with the List Maintenance managers to discuss refresher trainings with all five boroughs and the GO Phone Bank staff.

It was noted that the Bronx and GO Phone Bank staff required more in depth training and the remaining borough staff members required refresher training.

The following was offered for staff support:

- Creation of an additional step-by-step training guide to assist boroughs with retraining. Training materials to be forwarded to each borough and staff to provide additional feedback.
- Time slots to be scheduled for retraining sessions to occur within the next two weeks (a total of 12 sessions) to accommodate split schedules that occurring in the boroughs (due to COVID) and the upcoming Special Election in the Bronx. The refresher trainings for the boroughs to be between 30-45 minutes in duration. For the staff in the Bronx and the GO Phone Bank requiring more in depth training same to be at least one hour
- A schedule to be made directly with the List Maintenance managers for training and retraining the staff.

List Maintenance managers addressed the issue of properly closing tickets. Updated ticket must be created when upon issue resolution, with proper connection to voter profiles.

List Maintenance managers and Indigov reviewed the reports on the dashboard. Two issues requiring resolution for Zendesk ticket entry are as follows:

- **Creating voter profiles** – at present List Maintenance managers are helping the boroughs with entering the profiles.
- **Resolving tickets:**
  - Staff is placing tickets in **pending** status instead of **resolving**, thus keeping a ticket "on the clock" and alerting staff that an issue is not yet resolved.

- **April 19, 2021**

Indigov conducted a zoom conference with the List Maintenance managers and MIS and discussed building the web form.

The schedule for borough staff retraining was scheduled as follows:

Tuesday, April 27th	Brooklyn 10:00am	Queens 12:30pm
Wednesday, April 28th	GO Phone Bank 1:00pm	
Friday, April 30th	Manhattan 11:30am	Bronx 1:30pm
Monday, May 3rd	Staten Island 10:00am	

- **April 27, 2021**
  Brooklyn and Queens

Indigov conducted a video retraining session with List Maintenance managers, List Maintenance supervisors and their staff. Indigov team addressed:

- Entering complaint tickets in step-by-step detail
- Adding voter profiles

- Indigov explained the importance of adding voter names as same should appear in AVID, not an incorrect name spelling.
  - Once a ticket has been scanned and voter record has been updated into AVID, staff is to mark the ticket as resolved.
  - The only reason a ticket should be placed in **pending status** is if additional information is required from a voter.

Indigov explained that if a voter makes an additional complaint months after their original complaint, a new ticket should be created and the voter's profile added in Zendesk. When a ticket is sent to the borough via the votermailCO, the GO Voter Registration staff will send the ticket and the List Maintenance managers will ensure that the ticket is placed in **"open status"**.

- **April 28, 2021**
  GO Phone Bank

  Indigov conducted a video retraining session with List Maintenance managers, List Maintenance supervisors and their staff. Indigov team addressed:

  - Entering complaint tickets in step-by-step detail
  - Adding voter profiles
  - Indigov explained the importance of adding voter names as same should appear in AVID, not an incorrect name spelling.
  - Once a ticket has been scanned and voter record has been updated into AVID, staff is to mark the ticket as resolved.
  - The only reason a ticket should be placed in **pending status** is if additional information is required from a voter.

  The Indigov team also explained that if a voter sends in another complaint months after their original complaint, staff will need to create a new ticket but can link it to the voter's profile we have created in Zendesk. When a ticket is sent to the borough via the VotermailCO, the GO Voter Registration staff will send the ticket and the List Maintenance managers will ensure that the ticket is placed in **open status**.

- **April 29, 2021**

  Indigov conducted a video conference call with the List Maintenance managers to discuss the reporting purposes of Zendesk. It was explained that ticket backlog is caused by tickets that are rolled over from the preceding weeks. Customizing recording by borough, type of complaint, day, week, month and even year was discussed and determined to be necessary.

o **April 30, 2021**
   Manhattan and Bronx

   Indigov conducted a video retraining session with List Maintenance managers, List Maintenance supervisors and their staff. The Indigov team addressed:

   o Entering a complaint ticket in step-by-step detail
   o Adding a voter profile
   o Indigov explained the importance of adding voter names as same should appear in AVID, not an incorrect name spelling.
   o Once a ticket has been scanned and voter record has been updated into AVID, staff is to mark the ticket as resolved.
   o The only reason a ticket should be placed in **pending status** is additional information is required from a voter.

   The Indigov team also explained that if a voter sends in another complaint months after their original complaint, staff will need to create a new ticket but can link it to the voter's profile we have created in Zendesk. When a ticket is sent to the borough via the VotermailCO, the GO Voter Registration staff will send the ticket and the List Maintenance managers will ensure that the ticket is placed in **open status**.

o **May 3, 2021**
   Staten Island

   Indigov conducted a video retraining session with List Maintenance managers, List Maintenance supervisors and their staff. The Indigov team addressed:

   o Entering a complaint ticket in step-by-step detail
   o Adding a voter profile
   o Indigov explained the importance of adding voter names as same should appear in AVID, not an incorrect name spelling.
   o Once a ticket has been scanned and voter record has been updated into AVID, staff is to mark the ticket as resolved.
   o The only reason a ticket should be placed in **pending status** is additional information is required from a voter.

   The Indigov team also explained that if a voter sends in another complaint months after their original complaint, staff will need to create a new ticket but can link it to the voter's profile we have created in Zendesk. When a ticket is sent to the borough via the VotermailCO, the GO Voter Registration staff will send the ticket and the List Maintenance managers will ensure that the ticket is placed in **open status**.

o **May 13, 2021**

   Indigov conducted a video conference call with List Maintenance mangers to discuss new features added to Zendesk including:

- o Staff must review and click on all options when adding a ticket and in the voter's profile to ensure the ticket is saved
- o The date of birth field is now in numerical form
- o State tab will populate to New York
- o Multiple tickets for a voter can be merged by List Maintenance managers and supervisors.

- o **May 17, 2021**
  - All five boroughs and the G.O. phone bank received refresher training before the 2021 election cycle.
  - It was confirmed that all DOJ complaint tracking is implemented to facilitate:
    - o Reporting on all citywide complaints received by voters. Specific reports can be generated by borough and type of requests and/or particular voter complaints.
    - o Tracking of total requests resolved, monitoring of average resolution time and any backlog of tracking. The average resolution time by borough is impacted by any time needed to change or update a voter profile.
  - Indigov is currently working on customizing date ranges for reviewing the report (days, weeks, and month). It is estimated that customization will be completed by the end of next week.
  - AVID process with Zendesk tickets
    - o Once the ticket is processed in Zendesk, same is printed and scanned into a voter record in AVID. The staff will use the Zendesk ticket to update the voter records as necessary.
  - After the June primary election, a refresher course with the five boroughs and the team from Indigov will be conducted to address issues that arose during the primary cycle.
  - All Chiefs and Deputy Chiefs have licenses for the Zendesk program. Over the next two weeks accounts will be created and a walk through session will be scheduled to review the reporting aspects of the program.

- o **May 26, 2021**

  Indigov conducted a video conference call with DOITT and their legal team, MIS and List Maintenance managers to discuss the possibility of bringing the web form on-line. All parties involved are working diligently to implement use of web form within the available technology.

- o **May 27, 2021**

  Indigov conducted a conference call with List Maintenance managers to address reporting. The Internal Checks for Ingestion report will show if staff did not add a voter

profile. It was explained that the system requires 30 minutes to update a voter profile once a ticket is added.

- o **June 17, 2021**

  List Maintenance managers conducted a conference call with Indigov. Discussion addressed linking the AVID system and Zendesk system. LMGO requested development of tracking staff errors to the voter records to permit supervisors to plan for department training and/or employee removal. LMGO to send Indigov a spreadsheet listing with all the names, boroughs and the department of staff.

- o **June 22, 2021 – Primary Election Day**

  Currently all staff efforts in the five boroughs are directed to the Primary Election. Boroughs will be validating/invalidating absentee/affidavit ballots and conducting all post-election tasks.

- o **August 4, 2021**

  Indigov conducted a refresher training course with all five borough supervisors.

  This refresher gave staff the opportunity to go over any issues or suggestions after using the system for the first time during an election.

  The discussion focused on managing adding Early Voting and Election Day complaints to a voter records and updating our Zendesk procedures for the General Election.

- o **August 11, 2021**

  Indigov conducted a video conference call with List Maintenance managers and List Maintenance supervisors to review the reporting aspects of Zendesk through the dashboard.

  Resolution Reporting provides a breakdown of all tickets entered into Zendesk and the average resolution time for all five boroughs. Indigov explained that the reporting can be broken down by borough, time, day, week, month and year.

  Internal Checks for Ingestion shows supervisors any open or resolved tickets in Zendesk that was entered by staff without a voter profile. If a closed ticket has no voter profile, Indigov can assist the List Maintenance managers or supervisors to adjust a voter profile.

- o **August 25, 2021**

  Indigov conducted a video conference call with the List Maintenance managers and the Chiefs and Deputy Chiefs of the five boroughs. Indigov gave the Chiefs and Deputy Chiefs a detailed explanation of the reporting aspect for Zendesk. Staff was briefed on Indigov's implementation of a new dropdown menu to reveal staff errors to assist supervisors with staff performance evaluation. There was positive feedback from the Chiefs and Deputies regarding the demonstration.

A spreadsheet was forwarded to Indigov to process the names of staff from List Maintenance, AVID and Absentee who work on updating voter records.

o **September 2, 2021**

List Maintenance managers, MIS and Indigov conducted a meeting regarding password security for the Zendesk system.

New York City Cyber command (NYC3) highly recommend a password policy for all users and Multifactor Authentication for Admin users. Effective rollout of the security changes was discussed. A plan and materials for users will be prepared for next week.

New Password Policy:

- Passwords must have a minimum length of eight (8) characters and must be constructed using at least three of the four following character types:
  1. Upper case letter
  2. Lower case letter
  3. Number
  4. Special Character (i.e. !@#$%^&*()_- or space)
- Passwords must be changed every 90 days and cannot be the same as the last 10 passwords successfully set.
- Admin accounts must be setup with MFA using Microsoft Authenticator Application.

o **September 17, 2021**

The DOJ conducted a conference call with Executive Management, General Counsel and List Maintenance managers to discuss the NYS Death Notifications for June and July that were not processed by Manhattan List Maintenance staff. Per Manhattan List Maintenance supervisors:

- All of the List Maintenance staff were assigned to other tasks during pre and post-election by the Chief and Deputy Chief clerk.
- The NYS Death Notifications were processed upon the certification of the June Primary Election hand count.
- There was a total of 1,033 NYS Death Notifications to be processed. Manhattan List Maintenance staff processed 886 death notifications and 147 were not processed because they did not match the voter on the death notification.
- Processing began on Wednesday, August 4th and concluded on Friday, August 10th.

Further discussion was had to review full compliance with the consent decree. List Maintenance managers confirmed they are in full compliance with the addition of Zendesk to help process complaints.

- **September 20, 2021**

  List Maintenance managers met General Counsel and Executive Staff to discuss the list maintenance process. The following was discussed:

  - Various reports (AVID-Activity, Signature Verification and Cancellation (status #3/#4) Repots) reviewed by LMGO daily.
  - AVID training module used by the borough List Maintenance supervisors to train new staff.
  - Processing of incoming Transfers/Approval Notices which forwarded to appropriate borough offices for scanning.
  - DOJ stats report received from N-Tier.

  General Counsel inquired as to the ongoing list maintenance processes, including NYS Deaths, Duplicates, Felonies and voter requests. It was acknowledged that such processes should continue regardless of registration deadlines to ensure full compliance with legal mandates and the Consent Decree.

  List Maintenance managers advised List Maintenance supervisors via e-mail to change their Zendesk password and ensure staff is similarly advised with direction that passwords must be changed every 90 days as per Indigov security measures.

- **October 1, 2021**

  List Maintenance managers sent an email to the List Maintenance supervisors to conduct a list maintenance meeting. Meeting reviewed questions/concerns and the AVID Training module. List Maintenance managers discussed with supervisors the implementation of tracking the initial error to voter records via the Zendesk reporting system.

- **October 6, 2021**

  List Maintenance mangers conducted a conference call with the List Maintenance supervisors and N-Tier. The following was discussed:

  - AVID Training Module – list maintenance supervisors using the training module expressed some concerns/issues regarding an update/refresher of the module N-Tier indicated the training module would be cleared of old data, refreshed and add registrations and modify them as needed. The supervisors are to use sample registrations that are to be scanned into the training module. AVID training module will be updated over the weekend.
  - AVID Batch Scan Report – when supervisors are reviewing the report they noticed the form type states **rejected batch** occurring when registrations are scanned from one borough to another. N-Tier indicated verbiage will be edited to reflect the form

type (one borough is scanning to another borough) to permit properly pulling scans from the correct batch. Adjustment will be completed by next week.

- **Inbound County Transfers** – Borough staff discussed difficulty with reading transfers that are scanned into the system. List Maintenance managers reviewed e-mails from the other counties to confirm addresses on the transfers. If the addresses are not readily available, LMGO to e-mail to the other county requesting replacement copy of the transfer. The hard copy of any paperwork that is illegible will be filed in the "unprocessable file" by staff for retention.

- LMGO advised that registering first time voters or updating voter records had question #1 (are you a citizen) and question #2 (will be 18 years old on or before Election Day) prepopulated in the voter's profile. N-Tier and List Maintenance managers were not aware of this issue and same will be removed immediately.

- Zendesk – new processing will begin next week to allow for tracking of staff errors to allow supervisors to review reports and address errors with staff. Further, tracking will assist in determining staff retraining and/or removal from unit.

- **List Maintenance functions** – Following discussion with General Counsel, List Maintenance managers reminded List Maintenance supervisors that all removal of voters through NYS Death Notifications, NYS Duplicate Notifications, NYS Felony Notifications, Incompetence and request from a voter be processed on a continuing basis to ensure compliance with legal mandates and the Consent Decree.

- **Parolee/Felon Management Guidelines** – List Maintenance mangers advised List Maintenance supervisors of the updated felony procedures received by the State Board of Elections (SBOE). The new procedures state:
  - Any voter registered at the time of or during their incarceration term should have that registration purged regardless of the voter's current incarceration status. Even if such voter is no longer incarcerated, the registration record they had during their incarceration must be cancelled, but any new registration post incarceration should then be processed.

- **October 8, 2021**

Indigov conducted a video conference call with the List Maintenance manages and MIS. During this call we discussed the implementation of the initial error/quality review error made when staff enters a registration into AVID. Indigov proposed placing asterisks in the "initial error" and "quality review error" fields making it mandatory to complete each field before resolving a ticket - staff will be unable to resolve ticket without selecting name of staff from the dropdown box for each field. This mandatory field will be in place by Tuesday, October 12th. Apart from the required fields, a report will be created for the supervisors listing all staff errors- a further aid in reviewing staff performance.

o **October 20, 2021**

Indigov conducted a video conference call with the List Maintenance managers to discuss the resolution reporting on the initial error/quality error done by staff. Indigov will adjust the report to make it easier for the List Maintenance supervisors in the boroughs to review the report of staff errors allowing supervisors to be able to review individual staff errors and take appropriate remedial action.

o **November 2, 2021 – General Election Day**

Currently all staff efforts in the five boroughs are directed to the General Election. Boroughs will be validating/invalidating absentee/affidavit ballots and conducting all post-election tasks.

o **December 14, 2021**

List Maintenance managers conducted a conference call with the List Maintenance supervisors, N-Tier and Indigov. The following was discussed:

- Boroughs have received DMV registrations where the voter has selected to place a letter, example **K** for their party affiliation. Staff must enter two spaces then add the letter (**K**) to prevent an error message, N-Tier will review and advise. This has occurred for new and existing voters.
- AVID Training module – after the completion of election cycle the module was restored to begin training any new staff.
- Comment Box – Discussion regarding expanding the comment area.
- Mr. Smith suggested a follow up meeting be scheduled in March to discuss any and all request for further modifications to the system.
- List Maintenance managers reiterated to the List Maintenance supervisors that all NYS Death, Duplicate and Felon Notification Registrations are a priority and to be completed upon receipt.
- List Maintenance managers will work with MIS to ensure that the AVID – Activity Reports are uploaded to the S-Drive automatically.

The meeting continued with discussions regarding Zendesk with Indigov. The following was discussed:

- All List Maintenance supervisors have access to "merge" tickets but they do not have access to "delete" tickets. This access is only granted to the List Maintenance managers. When a ticket needs to be deleted, supervisors must forward a request.

- When tickets are entered into Zendesk regarding merged voter records, both VSNs are to be entered into the report section; however, when entering the information in the voter profile, enter only the correct VSN for the voter's merged record.
- Supervisors may access the Resolution Reporting field to review the New Error Reporting field to evaluate staff performance. Indigov has adjusted the field to add the date the initial error was created by the staff member.
- List Maintenance supervisors and staff have been entering all complaints that were received from poll sites for Early Voting and Election Day. For errors or complaints received that were corrected by an Affidavit and/or a new registration, the boroughs are to keep the hardcopy of the Zendesk ticket with a notation stating why the ticket was not entered into the system.
- A request was made for more licenses to make Zendesk available to more staff members.
- A request was made for adjustments to the system regarding the form type dropdown and action taken dropdown so that the more common error types would be at the top of the list.
- A request was made for the voter's VSN and information in the reporting screen to be automated into the voter's profile. Indigov to review this with the technicians.
- A request was made for the subject line of the ticket to include a dropdown with all the most common error issues.

New or Revised NVRA and/or New York State Election Law Procedures

Chapter 37
Relates to the automatic voter registration process; amends certain voter registration processes and the agencies to be included as designated agencies.

Chapter 103
Relates to voting and registration for voting by formerly incarcerated individuals convicted of a felony and to repeal certain provisions of the election law relating thereto.

Election Law 5-508
Relates to the confidentiality of registration records for victims of domestic violence; requires victims of domestic violence wishing to make their registration records confidential to deliver a signed written statement swearing or affirming that they are victims of domestic violence and due to the threat of physical or emotional harm they wish to keep their registration record confidential.

Report on Each Election during the Prior Calendar Year (broken down by borough)

The yearly statistical data that the Board is required to provide in Excel Format will be included in the Board's March 15th submission. The report also includes an explanation of the various fields. A breakdown of the data can also be found in the attached report titled NYC Yearly Registration Stats.